federal register

MONDAY, MARCH 22, 1976

PART II:

RAILROAD RETIREMENT BOARD

■

PRIVACY ACT

Notice of Systems of Records

U.S. RAILROAD RETIREMENT BOARD

Notice of Revision and Addendum to the Routine Uses Sections of its Systems of Records Pursuant to the Privacy Act of 1974 (5 U.S.C. section 552a, P.L. 93-579)

The U.S. Railroad Retirement Board hereby publishes revisions and additions to its routine uses sections of all its systems of records originally published in the Federal Register on August 19, 1975 and October 2, 1975, for public comment pursuant to section (e)(4) of the Privacy Act of 1974. The purposes of this publication are to show additional routine uses omitted from the original publication and to refine the routine uses already published. The Board has determined that these systems of records would best serve the public if they were published in their entirety, consequently facilitating their use.

Those interested parties wishing to submit data, views or arguments on the routine uses of these systems of records should send such comments to the Secretary of the Board, U.S. Railroad Retirement Board, 844 Rush Street, Chicago, Illinois 60611, not later than 30 days from the date of this edition of the Federal Register.

R. F. Butler,
Secretary

RRB-1

System name: Social Security Benefit Vouchering System--RRB

System location: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Applicants after December 31, 1974, for benefits under Title II of the Social Security Act who have completed ten years of creditable service in the railroad industry, the spouse or survivor of such an individual.

Categories of records in the system: Name, address, social security number, type and amount of benefit, suspension and termination information.

Authority for maintenance of the system: Section 7(b)(2) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(2))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Benefit rate information may be disclosed to primary beneficiaries regarding secondary beneficiaries (or vice versa) when the addition of such beneficiary affects either the entitlement or benefit payment.

b. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

c. Benefit rates, names and addresses may be released to the Treasury Department to control for reclamation and return of outstanding benefit checks, to issue benefit checks, act on reports of non-delivery, and to insure delivery of check to the correct address of the beneficiary or representative payee.

d. Beneficiary's name, address, check rate and date plus supporting evidence may be released to the U.S. Postal Service for investigation of alleged forgery or theft of railroad retirement or social security benefit checks.

e. Beneficiary's name, effective date, benefit rate and months paid may be disclosed to the Veterans Administration to verify continued entitlement to benefits.

f. Benefit rates and effective dates may be disclosed to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

g. Last addresses information may be disclosed to the Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

h. Benefit rates, entitlement and other necessary information may be released to the Department of Labor in conjunction with payment of benefits under the Federal Coal Mine and Safety Act.

i. Pursuant to a request from an emoloyer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's payment of benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purooses of determining entitlement to and the rates of private, supplemental pension benefits and to calculate estimated benefits due.

j. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

k. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

l. Information may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act.

m. Records may be disclosed to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under Title II of the Social Security Act, as amended.

n. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

o. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

p. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Retirement Act or Title II of the Social Security Act, as amended, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, magnetic tape and microforms

Retrievability: Social security account number, full name

Safeguards: Records are maintained in areas not accessible to the public; buildings are secured (guard service).

Retention and disposal: Paper: Individual claim folders with records of all actions pertaining to the oayment of claims are shredded 25 years after the date of last payment or denial activity. Other paper listings are destroyed one year after date of issue, except for accounts receivable listings which are destroyed only after General Accounting Office audit. Magnetic tape: Tapes are updated at least monthly, writing over obsolete data. Microforms: Originals are kept for five years; duplicates for one year; destroyed by shredding.

System manager(s) and address: Director of Retirement Claims
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's records should be in writing addressed to the System Manager identified above, including full name and social security number of the individual. Before any information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Individual applicant or his or her authorized representative, the Social Security Administration, other record systems maintained by the Railroad Retirement Board.

RRB-2

System name: Medical Examiner's Index--RRB

System location: District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Physicians who have agreed to examine applicants.

Categories of records in the system: Physician's name, address, telephone number, medical field and specialties, special equipment available, fees, names of those examined and dates of examinations.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)) Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Name of physician

Safeguards: Kept in a special, separate file in an area of the office accessible only to district office employees. The office is locked during non-business hours.

Retention and disposal: Maintained indefinitely; cards will be removed and destroyed upon request of the doctor. If the physician's service has proved to be too slow or otherwise unsatisfactory, the record is destroyed by shredding.

System manager(s) and address:

Director of Retirement Claims
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security account number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Physician

RRB-3

System name: MEDICARE, Part B (Supplementary Medical Insurance) Payment System--Contracted to The Travelers Insurance Company--RRB.

System location:

Main Office: The Travelers Insurance Company
One Tower Square
Hartford, Connecticut 06115 Field Offices: See Appendix II for addresses

Categories of individuals covered by the system: Qualified railroad retirement beneficiaries covered by MEDICARE, Part B, who file claims under the medical insurance program.

Categories of records in the system: Name, health insurance claim number, address, telephone number, description of illness and treatment pertaining to claim, indication of other health insurance or medical assistance pertinent to claim, date(s) and place(s) of physician service, description of medical procedures, services or supplies furnished, nature of illness(es), medical charges name, address and telephone of physician, Part B entitlement date, Part B deductible status.

Authority for maintenance of the system: Section 7(d) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(d)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

b. Information regarding payments and deductibles may be released to the Social Security Administration for use in administering Title XVIII of the Social Security Act, as amended, and to establish, audit and maintain account and vouchering records.

c. Records may be disclosed in a court proceeding relating to any claims for benefits under Title XVIII of the Social Security Act, as amended, and may be disclosed during the course of an appeal hearing.

d. Records may be disclosed to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under Title XVIII of the Social Security Act.

e. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

f. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the status of a qualified railroad retirement beneficiary's enrollment in Medicare and premium payment status may be released to the requesting employer for the purposes of coordinating employee supplemental welfare benefits.

g. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his entitlement and premium status may be disclosed to the labor organization official.

h. In the event that this system of records maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

i. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Retirement Act or Title XVIII of the Social Security Act, as amended, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, magnetic tape and microforms.

Retrievability: Health insurance claim number, name.

Safeguards: The Travelers Insurance Company is bound by the contract set forth by the Railroad Retirement Board which contains specific instruction regarding its responsibility in claim information handled and released. It is also bound by the same regulations regarding disclosure and security of information as the Board itself.

Retention and disposal: Each Travelers' office retains material for 27 months. At the end of 27 months the material is sent to the Federal Records Center. After 2 years the Federal Records Center destroys the material.

System manager(s) and address:

Director of Retirement Claims
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Claimant, his authorized representative or his/her survivors, the Social Security Administration, ohysicians, hospitals.

RRB-4

System name: Microfiche of Estimated Annuity, Total Compensation and Residual Amount File–RRB.

System location:

Headquarters: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611 District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Individual record for all railroad employees who worked in the current reporting year or one who had at least 120 service months and never filed an application for annuity or been reported to be deceased.

Categories of records in the system: Individual name, account number, service record and creditable compensation, year last worked, date of birth, sex, employer identification number, gross residual, basic annuity rate and computational data.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Entitlement information may be disclosed to primary beneficiaries regarding secondary beneficiaries (or vice versa) when the addition of such beneficiary affects either the entitlement or benefit payment.

b. Information may be disclosed to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act or the Railroad Unemployment Insurance Act.

c. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

d. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's estimated payment of unemployment, sickness or retirement benefits, the methods by which such benefits are calculated and entitlement data may be released to the requesting employer for the purposes of determining entitlement to and the rates and of private supplemental pensions, sickness or unemployment benefits and to calculate estimated benefits due.

e. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

f. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Retirement Act or the Railroad Unemployment Insurance Act, upon receipt of a written letter or declaration stating the fact of representing, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Microfiche.

Retrievability: Social security number.

Safeguards: Only authorized personnel have access to these records. Fiche are kept in offices locked at the close of business each day until start of business the next day.

Retention and disposal: Shredded upon receipt of annual updated microfiche.

System manager(s) and address:

Director of Data Processing and Accounts
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Furnished to district offices by headquarters who secured the information from the original master records.

RPB-5

System name: Master File of Railroad Employees' Creditable Compensation–RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: All individuals with compensation creditable under the Railroad Retirement Act and the Railroad Unemployment Insurance Act.

Categories of records in the system: Individual name, social security account number, claim number, gross residual amount, last employer identification number, master file of service and compensation 1937-current.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)) and Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Records may be transferred to the Social Security Administration to correlate disability freeze actions and in cases where the railroad employee does not acquire 120 creditable service months before retirement or death, or has no current connection with the railroad industry, to enable SSA to credit the employee with the compensation and to pay or deny benefits.

b. Service months and years may be released to the respective employees through their employers furnishing cumulative and yearly creditable compensation and service months.

c. Service months and earnings may be released to employers or former employers for correcting or reconstructing earnings records for railroad employees.

d. Information may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and/or the Railroad Unemployment Insurance Act.

e. Employee identification and potential entitlement may be furnished to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing application for benefits under their respective programs.

f. Employee identification and other pertinent information may be released to the Department of Labor in conjunction with payment of benefits under the Federal Coal Mine and Safety Act.

g. The last employer information may be disclosed to the Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

h. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

i. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the employee's potential eligibility for unemployment, sickness or retirement benefits may be released to the requesting employer for the purpose of determining entitlement to and the rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due from the employer.

j. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his anticipated benefit may be disclosed to the labor organization official.

k. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act or the Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

l. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether

federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

m. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Retirement Act or the Railroad Unemoloyment Insurance Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, paper.

Retrievability: Social security number, claim number, name.

Safeguards: Magnetic tape - computer and computer storage rooms are restricted to authorized personnel. Paper - bound in hard covers and stored on steel shelving; available to authorized unit personnel.

Retention and disposal: Magnetic tape - permanent retention; updated annually. Paper - retained five years and destroyed; last year ledger put in storage when current year ledger complete.

System manager(s) and address:

Director of Data Processing and Accounts
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad employer.

RRB-6

System name: Unemployment Insurance Record File--RRB

System location: District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Claimants for unemployment benefits under the Railroad Unemployment Insurance Act and their respective employers.

Categories of records in the system: Development file containing letters from claimants, report of Railroad Unemployment Insurance Act fraud investigations and supporting evidence, erroneous payment investigations, protest and appeal requests and responses.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Beneficiary identifying information may be released to third party contacts to determine if incapacity of the beneficiary or potential beneficiary to understand or use benefits exists, and to determine the suitability of a proposed representative payee.

b. Benefit rate, name and address may be referred to the Treasury Department to control for reclamation and return of outstanding benefit checks, to issue benefit checks, reconcile reports of nondelivery, and to insure delivery of check to the correct address of the beneficiary or representative payee.

c. Beneficiary's name, address, check rate, date and number, plus supporting evidence may be released to the U.S. Postal Service for investigation of alleged forgery or theft of railroad unemployment or sickness benefit checks.

d. Identifying information such as full name, address, date of birth, social security number, employee identification number, and date last worked, may be released to any last employer to verify entitlement for benefits under the Railroad Unemployment Insurance Act.

e. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's payment of unemployment or sickness benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

f. Benefit rates and effective dates may be released to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

g. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

h. Records may be disclosed to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under the Railroad Unemployment Insurance Act, as amended.

i. The last addresses and employer information may be disclosed to the Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

j. Disclosure may be made to a congressional office from the record of the individual in response to an inquiry from the congressional office made at the request of that individual.

k. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning this benefit or anticipated benefit may be disclosed to the labor organization official.

l. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

m. In the event that this system or records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

n. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Unemployment Insurance Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Name, social security number

Safeguards: Kept in steel file cabinets away from the general public and are available only to district office and regional office personnel.

Retention and disposal: Shredded five years after end of benefit year in which originated.

System manager(s) and address: Director of Unemployment and Sickness Insurance

844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Individual claimant or his authorized representative, employers, state employment and unemployment claims records, federal Social Security Administration employer compensation reports.

RRB-7

System name: Applications for Unemployment Benefits and Placement Service under the Railroad Unemployment Insurance Act--RRB.

System location: District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Individuals who have made application for unemployment benefits and employment service.

Categories of records in the system: Name, address, account number, age, sex, education, height, weight, veteran status, employer, occupation, rate of pay, reason not working and last date worked, personal interview record, results of investigations.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Selected information may be disclosed to prospective employers for potential job placement.

b. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

c. Beneficiary identification and entitlement information may be released to third party contacts to determine if incapacity of the beneficiary or potential beneficiary to understand or use benefits exists, and to determine the suitability of a proposed representative payee.

d. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

e. Beneficiary identification, entitlement and benefit rate information may be released to the Treasury Department to control for reclamation and return of outstanding benefit checks, to issue benefit checks, reconcile reports of nondelivery and to insure delivery of check to the correct address of the beneficiary or representative payee.

f. Information may be referred to the U.S. Postal Service for investigation of alleged forgery or theft of railroad unemployment or sickness benefit checks.

g. Beneficiary identification, entitlement, and benefit rate information may be released to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

h. The last addresses and employer information may be disclosed to Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

i. Information may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Unemployment Insurance Act.

j. Records may be disclosed to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under the Railroad Unemployment Insurance Act, as amended.

k. Identifying information such as full name, address, date of birth, social security number, employee identification number, and date last worked, may be released to any last employer to verify entitlement for benefits under the Railroad Unemployment Insurance Act.

l. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

m. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's payment of unemployment or sickness benefits, the methods by which such benefits are calculated, entitlement data and present address will be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

n. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

o. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

p. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule regulation or order issued pursuant thereto.

q. Information in this system of records may be released to the attorney representing an individual in connection with that individual's claim for benefits under the Railroad Unemployment Insurance Act, upon receipt, of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Social security number.

Safeguards: Only authorized personnel have access to the records; offices locked during nonbusiness hours.

Retention and disposal: In routine cases, held for three years after end of benefit year in which originated. In those with adverse activities (claims denied), held for five years after end of benefit year in which originated. At end of both periods, files are shredded.

System manager(s) and address:

Director of Unemployment and Sickness Insurance
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Individual applicant or his authorized representative, present and former employers, state and federal departments of employment security, Social Security Administration and labor organizations.

RRB-8

System name: Railroad Retirement Tax Reconciliation System--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employee representatives covered under the Railroad Retirement Act.

Categories of records in the system: Employers' quarterly or annual railroad retirement report of compensation and taxes.

Authority for maintenance of the system: Section 15 of the Railroad Retirement Act of 1974 (45 U.S.C. 231n)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Service and earnings information may be released to the Internal Revenue Service and the Treasury Department to refund excess taxes.

b. Records may be disclosed to the General Accounting Office for auditing purposes.

c. Service and earnings information may be released to employers or former employers for correcting or reconstructing earnings records for railroad retirement, supplemental or unemployment/sickness employment tax purposes only, not to be construed as an extension of the statutory time limitation to amend such records.

d. In the event that this system of records maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, or local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, punch cards.

Retrievability: Name.

Safeguards: Records are maintained in areas not accessible to the public and are not permitted to be removed without authorization; secured building.

Retention and disposal: Employer and employee representatives quarterly tax returns and tax reporting reconciliation file. Sent to Federal Records Center. The General Services Administration will destroy.

System manager(s) and address:

Director of Budget and Fiscal Operations
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad tax reports, creditable and taxable compensation.

RRB-9

System name: Protest and Appeals under the Railroad Unemployment Insurance Act--RRB

System location: Regional Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Railroad Employees.

Categories of records in the system: Name, address, social security number, employment data, record of investigation on adverse action.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

b. Identifying information such as full name, address, date of birth, social security number, employee identification number, and date last worked, may be released to any last employer to verify entitlement for benefits under the Railroad Unemployment Insurance Act.

c. Beneficiary identification, entitlement and benefit rates may be released to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

d. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

e. Pursuant to a request from an employer covered by the Railroad Unemployment Insurance Act, information regarding the Board's payment of unemployment or sickness benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

f. If a request for information pertaining to an individual is made by an official of a labor organization of the individual concerning his benefit or anticipated benefit may be disclosed to the labor organization official.

g. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

h. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

i. Information in this sytem of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Unemployment Insurance Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Name, social security number.

Safeguards: Only authorized personnel have access to these records which are kept in an office that is locked at the close of business each day and remains so until start of business the next day.

Retention and disposal: Destroyed by shredding no later than five years after the end of the fiscal year in which originated.

System manager(s) and address: Director of Unemployment and Sickness Insurance

844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Employee, employer and district office records.

RRB-10

System name: Legal Opinion Files--RRB

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Applicants for benefits under the Railroad Retirement Act or the Railroad Unemployment Insurance Act.

Categories of records in the system: The files include a copy of the question submitted to the Bureau of Law for an opinion and a copy of the legal opinion rendered by the Bureau of Law. There may be copies of any correspondence between the Board and the individual or his employer concerning the question presented.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)) Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event that this sytem of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Name

Safeguards: Stored in locking file cabinets; access to these files is restricted to attorneys, other employees in the Bureau of Law, and other Board employees with express permission of the head of the clerical section of the Bureau of Law.

Retention and disposal: Permanent retention.

System manager(s) and address:

General Counsel
U.S. Railroad Retirement Board
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name, social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: The individual or his or her authorized representative, other record systems maintained by the Railroad Retirement Board, employers.

RRB-11

System name: Files on Concluded Litigation--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employees, retired railroad employees, and individuals with some creditable railroad service who are involved in litigation in which the Railroad Retirement Board has some interest as a party or otherwise.

Categories of records in the system: Legal briefs, reports on legal or factual issues involved copies of subpoenas which may have been issued, copies of any motions filed, transcripts of any depositions taken, correspondence received and copies of any correspondence released by the Board pertaining to the case, copies of any court rulings on motions, and copies of the final decision in the case.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)) and Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Name.

Safeguards: Stored in locking file cabinets; access to these files is restricted to attorneys, other employees in the Bureau of Law, and other Board employees with express permission of the head of the clerical section of the Bureau of Law.

Retention and disposal: Permanent retention.

System manager(s) and address:

General Counsel
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an 4uthorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: The individual himself or his authorized representative, other record systems maintained by the Railroad Retirement Board, employers, the Social Security Administration.

RRB-12

System name: Railroad Employees' Registration File--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employees.

Categories of records in the system: Railroad employee's name, address, social security number, date of birth, place of birth, mother's and father's names, sex, occupation and employer.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Name, date and place of birth, social security number, and parents' names may be disclosed to the Social Security Administration to verify social security number and date of birth.

b. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act, or Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

c. Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and/or the Railroad Unemployment Insurance Act.

d. Information in this system of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Retirement Act or the Railroad Unemployment Insurance Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, microfilm.

Retrievability: Social security number.

Safeguards: Stored in steel cabinets; available to authorized unit personnel.

Retention and disposal: Permanent retention.

System manager(s) and address:

Director of Data Processing and Accounts
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information

about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad employee and employer.

RRB-13

System name: Disclosure of Information Files--RRB.

System location: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employees, railroad retirement annuitants, and other individuals with some creditable railroad employment on whose records a request for information, in the form of a subpoena or otherwise, has been received by the Board.

Categories of records in the system: Copies of the request or subpoena and any related correspondence received or released by the Board. Reports on and copies of any motions filed to quash a subpoena. Copies of any records which may have been disclosed.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)) and Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For internal Board use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Last name.

Safeguards: Stored in locking file cabinets in the Bureau of Law. Access to these files is restricted to attorneys, other employees in the Bureau of Law, and other Board employees with express permission of the head of the clerical section of the Bureau.

Retention and disposal: Retained permanently.

System manager(s) and address:
General Counsel
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Individual himself, person(s) seeking information about the individual, and other records systems maintained by the Board.

RRB-14

System name: Freedom of Information Act Register--RRB.

System location: Headquarters: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611 Regional Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Individuals whose requests for records fall within the scope of the Freedom of Information Act.

Categories of records in the system: Lists inquiries which fall within the scope of the Freedom of Information Act. Also shows the action taken in handling the inquiry.

Authority for maintenance of the system: 5 U.S.C. 552, Public Law 93-502

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Information may be furnished to the Freedom of Information Committee, the Department of Justice and to the Office of Management and Budget in fulfilling their requirements under this Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Claim number and name.

Safeguards: Records are maintained in areas unaccessible to the general public; only authorized personnel have access to these records.

Retention and disposal: Destroyed by shredding five years after the annual report is furnished to Congress.

System manager(s) and address:
Chief Executive Officer
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Inquirer

RRB-15

System name: Covered Abandoned Railroads--RRB.

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employees

Categories of records in the system: Service and compensation records of employees of abandoned railroads prior to 1937.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act, or Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

b. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Name, payroll number

Safeguards: Available only to authorized unit personnel; building secured

Retention and disposal: Permanent retention

System manager(s) and address:
Director of Data Processing and Accounts
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad employer

RRB-16

System name: Social Security Administration Summary Earnings File--RRB

System location: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad employees and their auxiliary beneficiaries.

Categories of records in the system: Social security account number, name, date of birth, sex, social security claim status, creditable earnings from 1937 to date.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Internal use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape

Retrievability: Social security account number, name

Safeguards: Computer and computer storage rooms are restricted to authorized personnel; secured building.

Retention and disposal: Permanent retention

System manager(s) and address:
Director of Data Processing and Accounts
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name, social security account number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Social Security Administration

RRB-17

System name: Appeal Decisions from Initial Denials for Benefits Under the Provisions of the Railroad Retirement Act--RRB.

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Appellants under the provisions of the Railroad Retirement Act

Categories of records in the system: Narrative of the facts and law pertinent to the decision made by the appeals referee.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

b. Pursuant to a request from an employer covered by the Railroad Retirement Act, information regarding the Board's payment of benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

c. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

d. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

e. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

f. Information in this system of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Retirement Act, upon receipt of a letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Claim number or social security number

Safeguards: Decision books are limited to review by authorized Board personnel.

Retention and disposal: The decisions which are bound into book form are kept permanently.

System manager(s) and address:
Director of Hearings and Appeals
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Information contained in the claim folder of an individual consisting of evidence furnished by doctors on the appellant's behalf, and Board-designated doctors as well as any and all information the appellant desires to submit, Social Security Administration, Veterans Administration.

RRB-18

System name: Travel and Miscellaneous Voucher Examining System--RRB.

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad Retirement Board employees.

Categories of records in the system: Travel vouchers, miscellaneous reimbursement vouchers.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6) and Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Identifying information and check amount may be released to the Treasury Department to issue checks.

b. Records may be disclosed to the Government Accounting Office for auditing purposes.

c. Identifying information, check number, date and amount may be released to the U.S. Postal Service for investigation of alleged forgery or theft of reimbursement checks.

d. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a

violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: Name.

Safeguards: Records are maintained in areas not accessible to the public and are not permitted to be removed without authorization; secured building.

Retention and disposal: Retain at headquarters for two years then to Chicago Federal Records Center--GSA will destroy when authorized by Government Accounting Office.

System manager(s) and address:

Director of Budget and Fiscal Operations
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Employees travel records, memoranda from Regional Directors, and purchase orders.

RRB-19

System name: Payroll Record System--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad Retirement Board employees.

Categories of records in the system: Time, leave and payroll information.

Authority for maintenance of the system: Pay Acts as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Salary and tax information may be disclosed to Internal Revenue Service, State and City taxing authorities for tax purposes.

b. Service history including pay, benefits, salary deductions for retirement and other information necessary may be disclosed to Civil Service Commission for use in computation of civil service annuities and to carry out its Government-wide personnel management functions.

c. Computer check issue tapes may be released to the Department of Treasury for issuance of salary checks.

d. Identification information, check number, data and amount, plus other supporting evidence may be forwarded to the U.S. Postal Service for investigation of alleged forgery or theft of salary checks.

e. The last addresses and employer information may be released to Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

f. Records may be disclosed to the General Accounting Office for auditing purposes.

g. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, tape and microfilm.

Retrievability: Social security number and name.

Safeguards: Housed in secured building and maintained in areas not accessible to the public; information released only at employee's request or to approved federal and local authorities.

Retention and disposal: Consolidated pay tapes, first two master tapes, and last two master tapes for each year. Destroy record three years after close of calendar year in which prepared by erasing tape. Security record--current check issue tape. Dispose when National Personnel Records Center receives second subsequent document covering same type of payment.

System manager(s) and address:

Director of Budget and Fiscal Operations
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad Retirement Board employees, personnel actions, time and attendance reports, deduction authorizations.

RRB-20

System name: Health Insurance and Supplementary Medical Insurance Enrollment and Premium Payment System (MEDICARE)--RRB.

System location:

Headquarters: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611 District and Regional Offices--See appendix I for addresses

Categories of individuals covered by the system: Qualified Railroad Retirement beneficiaries who are eligible for medicare coverage, attending physicians, chiropracters and physical therapists.

Categories of records in the system: Claim number, social security number, name, address, type of beneficiary under the Railroad Retirement Act, date of birth, method of Supplementary Medical Insurance premium payment, enrollment status, amount of premium, paid-thru date, third party premium payment information, coverage jurisdiction determination, direct premium billing and premium refund accounting, correspondence from beneficiaries, physicians suspected of overutilization and those suspended from payment by Medicare.

Authority for maintenance of the system: Section 7(d) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(d))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Beneficiary identification, enrollment status and premium deductions information may be released to 4the Social Security Administration to correlate actions with the administration of Title II and Title XVIII (MEDICARE) of the Social Security Act.

b. Beneficiary identification may be disclosed to third party contacts to determine if incapacity of the beneficiary or potential beneficiary to understand or use benefits exists, and to determine the suitability of a proposed representative payee.

c. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made from the record of the individual to the representative payee.

d. Data may be disclosed to Department of Health, Education, and Welfare for reimbursement for work done under reimbursement provisions of Title XVIII of the Social Security Act, as amended.

e. Jurisdictional clearance, premium rate, coverage election, paid-thru date, and amounts of payments in arrears may be released to the Social Security Administration to assist that agency in administering Title XVIII of the Social Security Act.

f. Beneficiary identification, premium rate and paid-thru date may be released to effect state buy-in and third party premium payments.

g. Payment data may be disclosed to consultants to determine reasonable charges for hospital insurance payments in Canada.

h. Entitlement data may be disclosed to primary beneficiaries regarding secondary beneficiaries (or vice versa) when the addition of such beneficiary affects entitlement.

i. Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and Social Security Act, as amended.

j. The last addresses information may be disclosed to Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

k. Beneficiary identification, entitlement data and rate information may be referred to the Department of State and embassy officials to aid in the development of applications, supporting evidence and the continued eligibility of beneficiaries and potential beneficiaries living abroad.

l. Records may be released to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under Title XVIII of the Social Security Act, as amended.

m. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

n. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's determination of medicare entitlement, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of supplemental benefits payable under private employee welfare benefit plans.

o. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his entitlement to medicare may be disclosed to the labor organization official.

p. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act, or Social Security Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

q. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

r. Information in this system of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Retirement Act and Title XVIII of the Social Security Act, as amended, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, magnetic tape and microfilm.

Retrievability: Claim number, social security number, full name.

Safeguards: Records are maintained in areas not accessible by the public and are not permitted to be removed from headquarters without authorization.

Retention and disposal: Paper: Computer printouts are retained for three months, then burned; applications materials are kept permanently. Magnetic tape: Updated weekly; obsolete tape written over. Microfilm: Retained for 18 months, then shredded.

System manager(s) and address:

Director of Retirement Claims
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's records should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Applicant (the qualified railroad beneficiary), his/her representative, Social Security Administration, The Travelers Insurance Company, federal, state or local agencies, third party premium payers, all other Railroad Retirement Board files, physicians.

RRB-21

System name: Railroad Unemployment and Sickness Insurance Benefit System–RRB.

System location:

Headquarters: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611 Regional and District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Applicants and claimants for unemployment and sickness (including maternity) benefits under the Railroad Unemployment Insurance Act; some railroad employees injured at work who did not apply for Railroad Unemployment Insurance Act benefits; all railroad employees paid separation allowances.

Categories of records in the system: Information pertaining to payment or denial of an individual's claim for benefits under the Railroad Unemployment Insurance Act: name, address, sex, social security number, date of birth, total months of railroad service (including creditable military service), total creditable compensation for base year, last employer and date last worked before applying for benefits, last rate of pay in base year, reason not working, applications and claims filed, benefit payment information for each claim filed, disqualification periods and reasons for disqualification, entitlement to benefits under other laws, benefit recovery information, about personal injury claims and pay for time not worked, medical reports, placement data, correspondence and telephone inquiries to and about the claimant, record of protest or appeal by claimant of adverse determinations made on his claims.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 351, et. seq.)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Beneficiary identifying information may be disclosed to third party contacts to determine if incapacity of the beneficiary or potential beneficiary to understand or use benefits exists, and to determine the suitability of a proposed representative payee.

b. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar information may be made to the representative payee from the record of the individual.

c. Beneficiary identifying information, address, check rate, date and number may be released to the Treasury Department to control for reclamation and return of outstanding benefit checks, to issue benefit checks, respond to reports of non-delivery and to insure delivery of check to the correct address of the beneficiary or representative payee.

d. Beneficiary identifying information, address, check rate, date and number, plus other necessary supporting evidence may be released to the U.S. Postal Service for investigation of alleged forgery or theft of railroad unemployment/sickness benefit checks.

e. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

f. Under Section 2(f), the Railroad Retirement Board has the right to recover benefits paid to an employee who later receives remuneration for the same period, therefore, the Railroad Retirement Board may notify the person or company paying the remuneration of the Board's right to recovery and the amount of benefits to be refunded.

g. Under Section 12(o), the Railroad Retirement Board is entitled to reimbursement of sickness benefits paid on account of the infirmity for which damages are paid, consequently, the Railroad Retirement Board may send a notice of lien to the liable party, and, upon request by the liable party, advise the amount of benefits subject to reimbursement.

h. Records may be disclosed to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Unemployment Insurance Act.

i. Beneficiary identifying information, rate and entitlement data may be released to the Social Security Administration to correlate actions with the administration of the Social Security Act.

j. The last addresses and employer information may be released to Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

k. Benefit rate, entitlement and periods paid may be disclosed to the Social Security Administration, Bureau of Supplemental Security Income, to Federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

l. Beneficiary identifying information, entitlement, rate and other pertinent data may be released to the Department of Labor in conjunction with payment of benefits under the Federal Coal Mine and Safety Act.

m. Beneficiary identifying information and medical evidence may be released to state or local agencies required by state or local law to be informed of the existence of a legally reportable medical condition, when discovered in connection with an application for disability or sickness benefits.

n. Records may be referred to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under the Railroad Unemployment Insurance Act.

o. If a request for information pertaining to an individual is made by an official of a labor organization, of which the individual is a member, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

p. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's payment of unemployment or sickness benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

q. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

r. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Unemployment Insurance Act and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

s. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation, or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

t. Information in this system of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Unemployment Insurance Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibition as the subject individual.

u. Beneficiary identifying information, entitlement data, benefit rates and periods paid may be released to the Veterans Administration to verify continued entitlement to benefits. v. Identifying information such as full name, social security number, employee identification number, date last worked, occupation and location last worked may be released to any last employer to verify entitlement for benefits under the Railroad Unemployment Insurance Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, magnetic tape and microforms.

Retrievability: Social Security number (claim number) and name.

Safeguards: Records are maintained in areas not accessible to the public and are not permitted to be removed from headquarters without authorization.

Retention and disposal: Paper - transferred to the Chicago Federal Records Center one year after the end of the benefit year during which the case was closed. Destroyed by the General Services Administration five years after the end of the benefit year. In appeal cases, retention is permanent. In benefit recovery cases, the file is transferred to the Federal Records Center if there has been no recent activity; the file is not destroyed until five years after recovery has been completed. Magnetic tape - destroyed ten years after the end of the benefit year. Microforms - destroyed ten years after the end of the benefit year.

System manager(s) and address:

Director of Unemployment and Sickness Insurance
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Applicant, claimant or his representative, physicians, employers, unemployment claims agents, labor organizations, federal, state, and local government agencies, all Railroad Retirement Board files, insurance companies, attorneys, congressmen, liable parties (in personal injury cases), funeral homes and survivors (for payment of death benefits).

RRB-22

System name: Railroad Retirement, Survivor, and Pensioner Benefit System--RRB.

System location:

Headquarters: U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611 Regional and District Offices: See Appendix I for addresses.

Categories of individuals covered by the system: Applicants for retirement and survivor benefits, their dependents (spouses, children, parents, grandchildren), individuals who filed for lump sum death benefits and/or residual payments.

Categories of records in the system: Information pertaining to the payment or denial of an individual's claim for benefits under the Railroad Retirement Act: name, address, social security number, claim number, proofs of age, marriage, relationship, and military service, creditable earnings and service months (including military service), entitlement to benefits under the Social Security Act, Veterans Administration or other benefit systems, rates, effective dates, medical reports, correspondence and telephone inquiries to and about the beneficiary, record of determination and appeal by beneficiary.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f (b)(6)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Beneficiary identifying information may be disclosed to third party contacts to determine if incapacity of the beneficiary or potential beneficiary to understand or use benefits exists, and to determine the suitability of a proposed representative payee.

b. In the event the Board has determined to designate a person to be the representative payee of an incompetent beneficiary, disclosure of information concerning the benefit amount and other similar

information may be made to the representative payee from the record of the individual.

c. Entitlement and benefit rates may be released to primary beneficiaries regarding secondary beneficiaries (or vice versa) when the addition of such beneficiary affects either the entitlement or benefit payment.

d. Identifying information such as full name, address, date of birth, social security number, employee identification number, and date last worked, may be released to any last employer to verify entitlement for benefits under the Railroad Retirement Act.

e. Beneficiary identifying information, address, check rate, number and date may be released to the Treasury Department to control for reclamation and return of outstanding benefit checks, to issue benefit checks, reconcile reports of non-delivery, and to insure delivery of check to the correct address of the beneficiary or representative payee.

f. Beneficiary identifying information, address, check rate, date, number and other supporting evidence may be released to the U.S. Postal Service for investigation of alleged forgery or theft of railroad retirement or social security benefit checks.

g. Beneficiary identifying information, entitlement data and benefit rate may be released to the Social Security Administration to correlate actions with the administration of Title II and Title XVIII of the Social Security Act, as amended.

h. Beneficiary identifying information and supplemental annuity amounts may be released to the Internal Revenue Service for tax purposes (Form G-1099, for those annuitants receiving supplemental annuities).

i. Beneficiary identifying information, entitlement, benefit rates and months paid may be released to the Veterans Administration to verify continued entitlement to benefits.

j. Beneficiary identifying information, entitlement data and benefit rates may be released to the Department of State and embassy officials to aid in the development of applications, supporting evidence and the continued eligibility of beneficiaries and potential beneficiaries living abroad.

k. Beneficiary identifying information, entitlement, benefit rates and months paid may be released to the Social Security Administration, Bureau of Supplemental Security Income, to federal, state and local welfare or public aid agencies to assist them in processing applications for benefits under their respective programs.

l. The last addresses and employer information may be released to the Department of Health, Education, and Welfare in conjunction with the Parent Locator Service.

m. Beneficiary identifying information, entitlement, rate and other pertinent data may be released to the Department of Labor in conjunction with payment of benefits under the Federal Coal Mine and Safety Act.

n. Beneficiary identifying information and medical evidence may be released to state or local agencies required by state or local law to be informed of the existence of a legally reportable medical condition, when discovered in connection with an application for a disability annuity.

o. Medical evidence may be released to Board-appointed medical examiners to carry out their functions.

p. Information obtained in the administration of Title XVIII (Medicare) which may indicate unethical or unprofessional conduct of a physician or practitioner providing services to beneficiaries may be released to Professional Standards Review Organizations and State Licensing Boards.

q. Information necessary to study the relationship between benefits paid by the Railroad Retirement Board and civil service annuities may be released to the Civil Service Commission.

r. Records may be disclosed to the General Accounting Office for auditing purposes and for collection of debts arising from overpayments under Title II and Title XVIII of the Social Security Act, as amended, or the Railroad Retirement Act.

s. Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act.

t. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

u. Pursuant to a request from an employer covered by the Railroad Retirement Act or the Railroad Unemployment Insurance Act, information regarding the Board's payment of retirement benefits, the methods by which such benefits are calculated, entitlement data and present address may be released to the requesting employer for the purposes of determining entitlement to and rates of private supplemental pension, sickness or unemployment benefits and to calculate estimated benefits due.

v. If a request for information pertaining to an individual is made by an official of a labor organization of which the individual is a member and the request is made on behalf of the individual, information from the record of the individual concerning his benefit or anticipated benefit and concerning the method of calculating that benefit may be disclosed to the labor organization official.

w. Records may be disclosed in a court proceeding relating to any claims for benefits by the beneficiary under the Railroad Retirement Act, and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

x. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

y. Information in this system of records may be released to the attorney representing such individual in connection with the individual's claim for benefits under the Railroad Retirement Act, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

z. The amount of a residual lump sum payment and the identity of the payee may be released to the Internal Revenue Service for tax audit purposes.

aa. The amount of any death benefit or annuities accrued but unpaid at death and the identity of such payee may be released to the appropriate state taxing authorities for tax assessment and auditing purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper, magnetic tape and microforms.

Retrievability: Claim number, social security number, full name.

Safeguards: Records are maintained in areas not accessible to the public, offices are locked during non-business hours.

Retention and disposal: Paper: Individual claim folders with records of all actions pertaining to the payment or denial of claims are shredded 25 years after the date of last payment or denial activity. Other paper listings are destroyed one year after date of issue, except for accounts receivable listings which are destroyed only after General Accounting Office audit. Magnetic tape: Tapes are updated at least monthly, writing over obsolete data. Microforms: Originals are kept for five years; duplicates for one year. Destroyed by shredding.

System manager(s) and address:

Director of Retirement Claims
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Individual applicants or their representatives, railroad employers, other employers, physicians, labor organizations, federal, state and local government agencies, attorneys, funeral homes, congressmen, schools, foreign governments.

RRB-23

System name: Four Percent Wage History of Railroad Workers—RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Individuals with service creditable under the Railroad Retirement Act having a social security number ending in 30, 35, 80 or 85.

Categories of records in the system: Service earnings and retirement and death data for these selected individuals.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and the Railroad Unemployment Insurance Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape.

Retrievability: Social Security account number.

Safeguards: Secured building.

Retention and disposal: Permanent retention.

System manager(s) and address:

Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Data is secured from reports to the Board by railroad employers.

RRB-24

System name: Research Master Record for Lump Sum and Residual Awards Under the Railroad Retirement Act--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: A lump-sum is paid to widow or payer of burial expenses when there is no person eligible for a monthly insurance benefit. Residual payment is made to a designated beneficiary whenever entitlement to all other types of benefits has ended, provided the gross residual amount has not been exhausted by other payments.

Categories of records in the system: Master benefit file contains beneficiary characteristics, payment and administrative data for deceased employees with respect to whom lump-sum and/or residual benefits were paid.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and microfilm.

Retrievability: By claim number.

Safeguards: Magnetic tape and microfilm available to authorized personnel only.

Retention and disposal: Magnetic tape retained for two years then written over. Microfilm retained for one year and shredded.

System manager(s) and address:

Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addresses to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Data entered from benefit award forms and application.

RRB-25

System name: Research Master Record for Survivor Beneficiaries Under the Railroad Retirement Act--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Widowed mothers, aged and disabled widow(er)s, children and parents, survivor option annuitants.

Categories of records in the system: Survivor master benefit file contains historical, computational and statistical benefit data in numerical sequence by claim number.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and microfilm.

Retrievability: By claim number.

Safeguards: Magnetic tape and microfilm available to authorized personnel only.

Retention and disposal: Magnetic tape retained for two years then written over. Microfilm retained for one year and shredded.

System manager(s) and address: Director of Research

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Application, benefit award forms, disability determinations and Social Security Administration.

RRB-26

System name: Research Master Record for Retired Railroad Employees and their Dependents--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Retirement and pension annuitants, spouse and ineligible person (IPI) included in benefit paid.

Categories of records in the system: Retirement master benefit file contains historical, computational and statistical benefit data.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and microfilm.

Retrievability: By claim number.

Safeguards: Magnetic and microfilm available to authorized personnel only.

Retention and disposal: Magnetic tape retained for two years then written over. Microfilm retained for one year and shredded.

System manager(s) and address:

Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Benefit award forms, Social Security Administration, application, disability rating and freeze determinations, and other Railroad Retirement Board files.

RRB-27

System name: Railroad Retirement Board-Social Security Administration Financial Interchange System--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: One-percent sample of present and former railroad employees and members of their families who would have been eligible for social security benefits if railroad employment had been covered by the social security system.

Categories of records in the system: Claim number, social security number, date of birth, and administrative cost and payment data on imputed and actual social security benefits.

Authority for maintenance of the system: Section 7(c)(2) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(c)(2))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. Findings, including individual records, may be released to the Social Security Administration, determining amounts which, if added to or subtracted from the OASDI Trust Funds, would place the Social Security Administration in the position it would have been if employment covered by the Railroad Retirement Act had been covered by the Social Security Insurance Contributions Acts.

b. Information may be released to the General Accounting Office for auditing purposes.

c. Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and the Railroad Unemployment Insurance Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape and paper.

Retrievability: Claim and social security account numbers.

Safeguards: Records are maintained in areas not accessible to the public and are not permitted to be removed.

Retention and disposal: Retained indefinitely, except that periodically, inactive materials are sent to the Federal Records Center to be retained for ten years, then destroyed by the General Services Administration.

System manager(s) and address:

Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security account number and claim number of the individual. Before information about any record will be Cf-C IC-* released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Annuitants, the Social Security Administration, and other Railroad Retirement Board files.

RRB-28

System name: One Percent Historical File of Railroad Unemployment and Sickness Beneficiaries--RRB.

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Individuals receiving unemployment and sickness benefits whose social security number ended in 30 for years 1939-1965 and 00 for years 1967 to date.

Categories of records in the system: Benefit data relating to the individual.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Unemployment Insurance Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Tape.

Retrievability: Social security account number sequence.

Safeguards: Secured building.

Retention and disposal: Permanent file.

System manager(s) and address:

Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Data is secured from benefit payment file used by Bureau of Unemployment and Sickness Insurance.

RRB-29

System name: Railroad Employees' Cumulative Gross Earnings Master File--RRB

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad workers whose social security account number ends in '30' who have worked in the railroad industry from 1951 through the present.

Categories of records in the system: Gross earnings by individual by month, quarter or year.

Authority for maintenance of the system: Section 7(c) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(c))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Records may be released to contractors to fulfill contract requirements pertaining to specific activities related to the Railroad Retirement Act and the Railroad Unemployment Insurance Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, paper listings, punch cards

Retrievability: Social secruity account number

Safeguards: Records are maintained in areas not accessible to the public and are not permitted to be removed; secured building.

Retention and disposal: Paper and punch cards are kept for 10 years, then disposed of by the federal records center. Updated historical magnetic tape is kept permanently.

System manager(s) and address: Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security account number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad employers.

RRB-30

System name: Current Year Wage Study File--RRB

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: All railroad workers with service and compensation in current year.

Categories of records in the system: Service and compensation by individual for the year.

Authority for maintenance of the system: Section 7(b)(6) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(6))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For internal Board use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape

Retrievability: Social security account number sequence

Safeguards: Secured building

Retention and disposal: One year retention; tapes written over and reused.

System manager(s) and address: Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Railroad employers RRB-31

System name: Twenty Percent Unemployment and Sickness Annual Summary File--RRB

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: All individuals receiving unemployment and sickness benefits in a year whose social security account number ends in 0 or 5.

Categories of records in the system: Unemployment and sickness benefits per individual by year.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For internal Board use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape

Retrievability: Social security account number sequence

Safeguards: Secured building

Retention and disposal: Five year retention; disposal by writing over tapes.

System manager(s) and address:
Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Data is secured from benefit payment file used by Bureau of Unemployment and Sickness Insurance.

RRB-32

System name: Twenty Percent Unemployment and Sickness Monthly Summary File--RRB

System location:
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Individuals receiving unemployment and sickness benefits in the year whose social security account number ends in 0 or 5.

Categories of records in the system: Unemployment and Sickness benefits per individual per month.

Authority for maintenance of the system: Section 12(l) of the Railroad Unemployment and Insurance Act (45 U.S.C. 362(l))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For internal Board use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape

Retrievability: Social security account number sequence

Safeguards: Secured building

Retention and disposal: One year retention; disposal by writing over tapes.

System manager(s) and address:
Director of Research
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number and claim number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Data is secured from benefit payment file used by Bureau of Unemployment and Sickness Insurance.

RRB-33

System name: Federal Employee Incentive Awards System--RRB.

System location:
U.S. Railroad Retirement Board

844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad Retirement Board employees who have submitted suggestions or have been nominated for awards.

Categories of records in the system: Employee suggestions, special achievement awards, quality increase awards, public service awards, government-sponsored awards.

Authority for maintenance of the system: Chapter 45, Title 5, U.S. Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Information may be released to the public media for public relations purposes.

b. Records may be disclosed to the General Accounting Office for auditing purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper.

Retrievability: System indexed by number assigned when suggestion or nomination is received. Suggestions are cross-referenced by name of suggester and subject of suggestion.

Safeguards: Only authorized staff has access to the files.

Retention and disposal: Denied suggestions are purged and destroyed 3 years after denial date. Adopted suggestions are retained permanently as are all special achievement and quality increase recommendations.

System manager(s) and address:

Chairman, Incentive Awards Committee
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be in writing addressed to the System Manager identified above, including the full name and social security number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Suggestion or award submitted by suggester or nominator. Suggestions submitted by employees; recommendations for award submitted by supervisory personnel.

RRB-34

System name: Employee Personnel Management Files--RRB

System location: Headquarters:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611
Regional and District Offices:
See Appendix I of publication for addresses.

Categories of individuals covered by the system: Current employees of the U.S. Railroad Retirement Board.

Categories of records in the system: Name, address and phone number of the person to notify in case of emergency and personal physician; copies of (1) pay change slip, (2) bi-weekly statement of earnings and leave, (3) SF-52, Request for Personnel Action, (4) SF-50, Personnel Action, (5) service computation date form, (6) written requests for leave, (7) performance ratings, (8) promotion appraisals, (9) incentive awards program suggestions and awards, (10) other awards and nominations for recognition, (11) supervisory informal and formal written notes, memoranduins, etc., relative to admonishment, caution, warnings, reprimand or similar notices, (12) within-grade increase materials, (13) SF-171, Employment Application, (14) credit or debt correspondence, (15) letters of commendation, (16) official position descriptions, (17) probationary letters, (18) task lists and performance standards, (19) information concerning training received and seminars attended, and (20) miscellaneous correspondence.

Authority for maintenance of the system: Section 7(b)(9) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(9)) and the Federal Personnel Manual 293-31 - Subchapter S-8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

b. Records may be disclosed in a court proceeding and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

c. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

d. In the event that this system of records, maintained by the Railroad Retirement Board to carry out its functions, indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto, the relevant records in this system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

e. Information in this system of records may be released to the attorney representing such individual, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders

Retrievability: Name of employee

Safeguards: Kept in lockable file cabinets or lockable desks in secured buildings, with access limited to authorized personnel.

Retention and disposal: The folder and its contents will be destroyed by hand-shredding within 30 days after the employee leaves the bureau or region. Specific materials in these files are disposed of in accordance with applicable Civil Service Commission and GSA instructions or regulations and/or applicable internal administrative directives.

System manager(s) and address: The system managers are listed below.

For departmental employees:
Director of Personnel
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611
For field employees:
Regional Director of region where person is employed
(See Appendix I of publication for addresses).

Notification procedure: Requests for information regarding an individual's record should be addressed to the System Manager identified above, including the full name and social security number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification procedure above.

Contesting record procedures: See Notification procedure above.

Record source categories: Employee, agency officials and management personnel.

RRB-35

System name: Employee Promotion Evaluation File--RRB

System location: Headquarters:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Current Railroad Retirement Board employees excluding: (1) all employees who occupy positions at the GS-14 level and above; (2) district managers, GS-13; (3) Board appointees; and (4) medical personnel, attorneys and actuaries.

Categories of records in the system: Board seniority date; employee appraisal; supervisory appraisal; application for promotions or reassignment to supervisory field positions; and an extract from the official personnel folders showing experience, education, special skills, and a synopsis of unsatisfactory or outstanding performance rating memoranda, denials of within-grade increases, letters of commendation, work-related awards, and disciplinary action memoranda and warning notices.

Authority for maintenance of the system: Railroad Retirement Board Order 75-3, written in accordance with section 7(b)(9) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(9)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

b. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

c. Records may be disclosed in a court oroceeding and may be disclosed during the course of an administrative appeal hearing in which such records are relevant to the issue.

d. Information in this system of records regarding an individual's work performance for the Railroad Retirement Board may be released to the attorney representing such individual, upon receipt of a written letter or declaration stating the fact of representation, subject to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders

Retrievability: Name of employee

Safeguards: Kept in lockable file cabinets in a secured building, with access limited to authorized personnel.

Retention and disposal: Retained until the employee terminates employment with the Board or enters into one of the positions exempted under 'Categories of individuals' above. The material is updated as new information is received. The employee appraisals and supervisory appraisals are updated every six months. Superseded materials are destroyed by hand-shredding.

System manager(s) and address: Director of Personnel

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be addressed to the System Manager identified above and should include the name and social security number of the individual. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: The individual to whom it applies, his official personnel folder and supervisory personnel.

RRB-36

System name: Negotiated Grievance File--RRB

System location: Headquarters:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad Retirement Board employees who have filed a grievance under negotiated grievance procedures.

Categories of records in the system: This system of records contains information and documents relating to the filing of a grievance under negotiated grievance procedures. It will contain a copy of the grievance memorandum submitted by the employee and a copy of the final determination made by the agency. It may contain evidence submitted by the employee and/or agency in support of or contesting the grievance.

Authority for maintenance of the system: Executive Order 11491, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: a. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

b. Information in this system of records may be released to the attorney representing such individual, upon receipt of a written letter or declaration stating the fact of representation, subect to the same procedures and regulatory prohibitions as the subject individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: File folders

Retrievability: Name of employee

Safeguards: Kept in lockable file cabinets in a secured building, with access limited to authorized personnel.

Retention and disposal: Maintained for five years, then destroyed by hand-shredding.

System manager(s) and address:

Director of Personnel
U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's record should be addressed to the System Manager identified above and should include the name and social security number of the individual involved. Before information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above

Contesting record procedures: See Notification section above.

Record source categories: The information in this system of records is obtained from the Railroad Retirement Board employee, the employee's supervisor, bureau heads, regional directors, and the chief executive officer.

RRB-37

System name: Medical Records on Railroad Retirement Board Employees--RRB

System location:

U.S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Categories of individuals covered by the system: Railroad Retirement Board headquarters' employees grade GS-12 and above, age 45 and older, and any building employee involved in a medical emergency requiring further medical treatment.

Categories of records in the system: Name, date of examination, date of birth, brief narrative statement of the employee's general health and significant medical problem,chief complaint, physical findings and recommended action.

Authority for maintenance of the system: Railroad Retirement Board Order 75-6, written in accordance with section 7(b)(9) of the Railroad Retirement Act of 1974 (45 U.S.C. 231f(b)(9)).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: For internal Board use only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Paper

Retrievability: Name

Safeguards: Locked filing cabinets, only authorized personnel are permitted to access.

Retention and disposal: Maintained until the employee terminates employment with the Railroad Retirement Board, then hand-shredded.

System manager(s) and address: Chief Medical Officer

U. S. Railroad Retirement Board
844 Rush Street
Chicago, Illinois 60611

Notification procedure: Requests for information regarding an individual's records should be in writing addressed to the System Manager identified above, including full name and social security number of the individual. Before any information about any record will be released, the System Manager may require the individual to provide proof of identity or require the requester to furnish an authorization from the individual to permit release of information.

Record access procedures: See Notification section above.

Contesting record procedures: See Notification section above.

Record source categories: Physician, medical personnel, Railroad Retirement Board employee.

APPENDIX I

OFFICES OF THE U.S. RAILROAD RETIREMENT BOARD A. Regional Offices:

Region 1
730 Peachtree Street, N.E.
Room 980
Atlanta, Georgia 30308

Region 2
Federal Building
Room 3415
26 Federal Plaza
New York, New York 10007

Region 3
Anthony J. Celebreeze Federal Building
Room 493
1240 East Ninth Street
Cleveland, Ohio 44199

Region 4
Federal Building
Room 257
601 East 12th Street
Kansas City, Missouri 64106

Region 5
Federal Building
Room 18043
450 Golden Gate Avenue
Box 36043
San Francisco, California 94102 B. District Offices:

Alabama
2121 Building
Room 1300
2121-8th Avenue North
Birmingham, Alabama 35203
Federal Office Building
Room 1000B
109 St. Joseph Street
Mobile, Alabama 36602

Arizona
301 West Congress
Room 4-M
Tucson, Arizona 85701

Arkansas
Federal Office Building
Room 1517
P.O. Box 3688
Little Rock, Arkansas 72203

California
U.S. Courthouse Building
Room 1006
312 North Spring Street
Los Angeles, California 90012
Federal Building
1515 Clay Street
Oakland, California 94612
Federal Building
Room E-1821
2800 Cottage Way
Sacramento, California 95825
Federal Building
450 Golden Gate Avenue
P.O. Box 36045
San Francisco, California 94102

Colorado
183 Custom House
20th & Stouts Streets
P.O. Box 8869
Denver, Colorado 80201

D.C.
1925 L Street, N.W.
Washington, D.C. 20036

Florida
400 West Bay Street
Room 244
P.O. Box 35026
Jacksonville, Florida 32202
168 S.E. First Street
Room 809
Miami, Florida 33131
Barnett Bank Office Building
Room 910
1000 North Ashley Drive
Tampa, Florida 33602

Georgia
730 Peachtree Street, N.E.
Room 980
Atlanta, Georgia 30308
719 East 65th Street
Savannah, Georgia 31405

Idaho
106 Federal Building & Courthouse
150 South Arthur Avenue
P.O. Box 1632
Pocatello, Idaho 83201

Illinois
Federal Building
31st Floor
230 South Dearborn
Chicago, Illinois 60604 132 South Water Street
Suite 517
P.O. Box 1291
Decatur, Illinois 62525
Federal Building
650 Missouri Avenue
P.O. Box 207
East St. Louis, Illinois 62201

Indiana
Lakeside II Office Building
Suite 145
2250 Lake Avenue
Fort Wayne, Indiana 46805
475 Broadway
Room 504
Gary, Indiana 46402
Federal Building
Room 105
575 North Pennsylvania Street
Indianapolis, Indiana 46204

Iowa
Federal Building
Room 709
210 Walnut Street
DesMoines, Iowa 50309

Kansas
505 West Sixth Street
Topeka, Kansas 66603
Petroleum Building
Room 525
221 South Broadway
Wichita, Kansas 67202

Kentucky
Federal Building
Room 377A
600 Federal Place
P.O. Box 3702
Louisville, Kentucky 40201

Louisiana
Tidewater Marine Building
Suite 422
3308 Tulane Avenue
New Orleans, Louisiana 70119
Federal Building
U.S. Courthouse
500 Fannin Street
Room 3B04
Shreveport, Louisiana 71101

Maine
Federal Building
Room 2016
151 Forest Avenue
Portland, Maine 04101

Maryland
George H. Fallon Federal Office Building
Room 112
31 Hopkins Plaza
Baltimore, Maryland 21201
Massachusetts
John W. McCormack P.O. & Courchouse
Room 1802 P.O. Square
Boston, Massachusetts 02109
Federal Building & U.S. Courthouse
Room 411
436 Dwight Street
Springfield, Massachusetts 01103
Michigan
Book Building
Room 1811
1249 Washington Boulevard
Detroit, Michigan 48226
Federal Building
Room 776
110 Michigan Street, N.W.
Grand Rapids, Michigan 49502
Minnesota
Federal Building
Room 135
515 West First Street
Duluth, Minnesota 55802
1821 University Avenue
Room 193
St. Paul, Minnesota 55104
Mississippi
301 Building
301 North Lamar Street
Room 407
P.O. Box 2468
Jackson, Mississippi 39205
Missouri
Federal Building
Room 258
601 East 12th Street
Kansas City, Missouri 64106
Federal Building
Room 109
319 South Lamine Avenue
Sedalia, Missouri 65301
210 North 12th Boulevard
Room 233
St. Louis, Missouri 63101
Landmark Building
Room 371
309 North Jefferson Street
Springfield, Missouri 65806
Montana
Federal Building
Room 1443
316 North 26th Street
P.O. Box 1351
Billings, Montana 59103
Nebraska
New Federal Building
Room 1010
215 North 17th Street
Omaha, Nebraska 68102
New Jersey
New Federal Building
Room 707
970 Broad Street
Newark, New Jersey 07102
New Mexico
1900-A Carlisle Boulevard, N.E.
P.O. Box 30203
Albuquerque, New Mexico 87110
Federal Building
Hill Avenue and Third Street
Room 130
P.O. Box 910
Gallup, New Mexico 87301
New York
Leo W. O'Brien Federal Building
Room 116
Clinton Avenue and North Pearl Streets
Albany, New York 12207
Federal Building
Room 1106
111 West Huron Street
Buffalo, New York 14202
U.S. Post Office Building
Room 327
Elmira, New York 14901
Federal Building
Room 3404
26 Federal Plaza
New York, New York 10007
Hunter Plaza
Seventh Floor
South Salina & East Fayette Streets
Syracuse, New York 13202
North Carolina
Mart Office Building
Room BB-503
800 Briar Creek Road (at Independence)
Charlotte, North Carolina 28205
Federal Building
Room 238
310 New Bern Avenue
Raleigh, North Carolina 27611
North Dakota
U.S. Post Office Building
Room 219
657 Second Avenue, North
P.O. Box 383
Fargo, North Dakota 58102
Ohio
Federal Building
Room 1030
550 Main Street
Cincinnati, Ohio 45202
Anthony J. Celebrezze Federal Building
Room 401
1240 East 9th Street
Cleveland, Ohio 44199
Federal Building
U.S. Courthouse
Room 218
85 Marconi Boulevard
Columbus, Ohio 43215
Federal Building
Room 321
234 Summit Street
Toledo, Ohio 43604
Dollar Bank Building
Room 601
Central Square
Youngstown, Ohio 44503
Oklahoma
U.S. Post Office Building
Room 146
3rd & North Robinson Streets
Oklahoma City, Oklahoma 73102
Oregon
U.S. Courthouse
Room 104
620 Southwest Main Street
Portland, Oregon 97205
Pennsylvania
615 Howard Avenue
Room 10
P.O. Box 990
Altoona, Pennsylvania 16603
Federal Building
Room 500
228 Walnut Street
Box B
Harrisburg, Pennsylvania 17108
William J. Green, Jr. Federal Building
Room 7224
600 Arch Street
Philadelphia, Pennsylvania 19106
Park Building
Room 311
355 Fifth Avenue
Pittsburgh, Pennsylvania 15222

U.S. Post Office and Courthouse
Washington Avenue and Linden Street
Room 301
Scranton, Pennsylvania 18503

Tennessee
Room 239
301 West Cumberland Avenue
P.O. Box 507
Knoxville, Tennessee 37901
Clifford Davis Federal Building
Room 31
167 North Main Street
Memphis, Tennessee 38103
Federal Building
U.S. Courthouse
Room 184
801 Broadway
Nashville, Tennessee 37203

Texas
Herring Plaza
Room 1107
P.O. Box H-4394
Amarillo, Texas 79101
1100 Commerce Street
Room 3 D 14
Dallas, Texas 75202
303 North Oregon
P.O. Box 5311
El Paso, Texas 79954
819 Taylor Street
Room 10A36
Fort Worth, Texas 76102
Federal Office Building
Room 2615
515 Rusk Street
P.O. Box 61166
Houston, Texas 77208
Federal Building
Room B-404
727 East Durango
San Antonio, Texas 78206

Utah
Federal Building Annex
Room 108
135 South State Street
Salt Lake City, Utah 84111

Virginia
Stanwick Building
Room 147
3661 Virginia Beach Boulevard, East
Norfolk, Virginia 23502
Federal Office Building
Room 1207
400 North Eight Street
P.O. Box 10006
Richmond, Virginia 23240
Richard Poff Federal Building
Room 516
210 Franklin Road, S.W.
P.O. Box 270
Roanoke, Virginia 24011

Washington
Federal Building
Room 942
915 Second Avenue
Seattle, Washington 98174
U.S. Courthouse
Room 492
West 920 Riverside Avenue
Spokane, Washington 99201

West Virginia
Federal Building
Room 1106
502-8th Street
P.O. Box 2153
Huntington, West Virginia 25722

Wisconsin
Continental Plaza Building
Suite 1040
735 West Wisconsin Avenue
Milwaukee, Wisconsin 53233

APPENDIX II
RAILROAD PART B FIELD OFFICES

ALABAMA
2170 Highland Avenue
Birmingham, Alabama 35205
Phone (205) 933-7600

ARIZONA
2005 North Central Avenue
P.O. Box 25249-85002
Phoenix, Arizona 85004
Phone (602) 252-8971

ARKANSAS
700 South University Avenue
P.O. Box 51
Little Rock, Arkansas 72203
Phone (501) 664-5085

CALIFORNIA
3600 Wilshire Boulevard
Los Angeles, California 90010
Phone (213) 381-0011
350 South Garey Avenue
P.O. Box 1171
Pomona, California 91766
Phone (714) 620-1921
555 University Avenue
P.O. Box 13955 - 95825
Sacramento, California 95825
Phone (916) 929-9700
1910 Olympic Boulevard
P.O. Box 5287
Walnut Creek, California
Phone (415) 933-5272

COLORADO
101 University Boulevard
Denver, Colorado 80206
Phone (303) 321-2333

CONNECTICUT
2200 Wbitney Avenue
Hamden, Connecticut 06518
Phone (203) 787-4251

FLORIDA
12th Floor Seaboard Coast Line Building
Jacksonville, Florida 32202
Phone (904) 353-1311
909 Brickell Plaza
P.O. Box 520030 - Biscayne Annex 33152
Miami, Florida 33131
Phone (305) 577-8246
5340 West Kennedy Boulevard
P.O. Box 23766
Tampa, Florida 33623
Phone (813) 879-0720

GEORGIA
Northlake Office Park
2310 Parklake Drive
P.O. Box 49484
Atlanta, Georgia 30329 (Northlake)
Phone (404) 934-1171

ILLINOIS
175 West Jackson Boulevard
Chicago, Illinois 60604
Phone (312) 435-5000
411 Hamilton Boulevard
Peoria, Illinois 61640
Phone (309) 674-7701

INDIANA
3833 North Meridian Street
Indianapolis, Indiana 46208
Phone (317) 923-3471
211 West Washington Avenue
South Bend, Indiana 46601
Phone (219) 232-1481

IOWA
215 Keosauqua Way
Des Moines, Iowa 50308
Phone (515) 288-7031

KANSAS
202 West First Street
Wichita, Kansas 67202
Phone (316) 262-1881
9800 Metcalf Avenue

Overland Park, Kansas 62212
Phone (913) 967-4000
KENTUCKY
One Riverfront Plaza
P.O. Box 1131 40201
Louisville, Kentucky 40202
Phone (502) 584-4221
LOUISIANA
551 Corporate Boulevard
P.O. Box 2711 70821
Baton Rouge, Louisiana 70808
Phone (504) 927-9800
MAINE
One Canal Plaza
P.O. Box 508
Portland, Maine 04112
Phone (207) 775-5861
MARYLAND
201 North Charles Street
Baltimore, Maryland 21201
Phone (301) 962-6262
MASSACHUSETTS
10 Kearney Square
Lowell, Massachusetts 01852
Phone (617) 459-2521
MICHIGAN
(Detroit Office)
1000 Travelers Tower
Southfield, Michigan 48076
Phone (313) 355-5000
200 Ottawa Avenue, N.W.
Grand Rapids, Michigan 49502
Phone (616) 454-8381
MINNESOTA
500 IDS Center
Minneapolis, Minnesota 55402
Phone (612) 340-4000
North Federal Building
386 North Wabasha Avenue
St. Paul, Minnesota 55102
Phone (612) 222-4171
MISSISSIPPI
5360 Interstate 55, North
P.O. Box 2361 39205
Jackson, Mississippi 39211
Phone (601) 956-5600
MISSOURI
522 Olive Street
St. Louis, Missouri 63101
Phone (314) 231-6900
MONTANA
Davidson Building
Eight Third Street
Great Falls, Montana 59401
Phone (406) 761-7970
NEBRASKA
1815 Capitol Avenue
Omaha, Nebraska 68102
Phone (402) 341-0860
NEW HAMPSHIRE
1230 Elm Street
Manchester, New Hampshire 03105
Phone (603) 668-3630
NEW JERSEY
Two Echelon Plaza, Laurel Road
Voorhees Township, New Jersey 08043
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Suite 1700 Main Place
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Phone (716) 842-6100
229 Seventh Street
Garden City, New York 11530
Phone (516) 294-5573
113 South Salina Street
Syracuse, New York 13202
Phone (315) 424-6111
NORTH CAROLINA
129 West Trade Street
Charlotte, North Carolina 28202
Phone (704) 377-4471
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Cincinnati, Ohio 45202
Phone (513) 369-3100
1801 East Ninth Street
Cleveland, Ohio 44114
Phone (216) 241-4646
921 Chatham Lane
Columbus, Ohio 43221
Phone (614) 457-2250
3450 West Central Avenue
Toledo, Ohio 43606
Phone (419) 531-3391
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Jamestown Office Park
3035 Northwest 63rd Street
Oklahoma City, Oklahoma 73187
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707 Southwest Washington Street
Portland, Oregon 97205
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1601 11th Avenue
Altoona, Pennsylvania 16601
Phone (814) 946-1681
3 Parkway
Philadelphia, Pennsylvania 19102
Phone (215) 972-5500
Chatham Center Office Building
Pittsburgh, Pennsylvania 15219
Phone (412) 281-9700
(Reading Office)
850 Park Road, North
Wyomissing, Pennsylvania 19610
Phone (215) 372-4771
TENNESSEE
1900 Winston Road
Knoxville, Tennessee 37919
Phone (615) 693-9310
110 21st Avenue South
Nashville, Tennessee 37203
Phone (615) 254-5431
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Two NorthPark East
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1401 Montana Street
P.O. Box 10082 - 79991
El Paso, Texas 79902
Phone (915) 544-1122
Four Greenway Plaza East
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